

FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
0942.285000G/BJD/MTTAPPLICATION NO.  
09/855,797APPLICANT  
HARTLEY *et al.*FILING DATE  
May 16, 2000GROUP  
1636

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
<i>W</i>	AA1	4,673,640	06/16/1987	Backman, K.C.	435	68	04/30/1984
<i>W</i>	AB1	4,743,546	05/10/1988	Backman, K.C. <i>et al.</i>	435	108	02/13/1985
<i>W</i>	AC1	4,959,317	09/25/1990	Sauer, B.L.	435	172.3	04/29/1987
<i>W</i>	AD1	5,227,288	07/13/1993	Blattner, F.R.	435	6	10/01/1990
<i>W</i>	AE1	5,286,632	02/15/1994	Jones, D.H.	435	91.2	01/09/1991
<i>W</i>	AF1	5,354,668	10/11/1994	Auerbach, J.I.	435	91.1	10/15/1993
<i>W</i>	AG1	5,434,066	07/18/1995	Bebee, R.L., <i>et al.</i>	435	172.3	03/15/1994
<i>W</i>	AH1	5,470,727	11/28/1995	Mascarenhas, <i>et al.</i>	435	172.3	12/21/1993
<i>W</i>	AI1	5,591,609	01/07/1997	Auerbach, J.I.	435	91.2	02/03/1995
<i>W</i>	AJ1	5,614,389	03/25/1997	Auerbach, J.I.	435	91.2	09/26/1995
<i>W</i>	AK1	5,635,381	06/03/1997	Hooykaas, P.J.J. <i>et al.</i>	435	172.3	02/25/1993

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
<i>W</i>	AL1	EP 0 160 571	11/06/1985	Europe			Yes No
<i>W</i>	AM1	EP 0 300 422	01/25/1989	Europe			Yes No
<i>W</i>	AN1	WO 91/02801	03/07/1991	WIPO			Yes No
<i>W</i>	AO1	WO 91/16427	10/31/1991	WIPO			Yes No
<i>W</i>	AP1	WO 92/20791	11/26/1992	WIPO			Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>W</i>	AR	1	Abremski, K., and Gottesman, S., "Purification of the Bacteriophage $\lambda$ xis Gene Product Required for $\lambda$ Excisive Recombination," <i>J. Biol. Chem.</i> 257:9658-9662, American Society for Biochemistry and Molecular Biology, Inc. (1982).
<i>W</i>	AS	1	Abremski, K., and Hoess, R., "Bacteriophage P1 Site-specific Recombination - Purification and Properties of the Cre Recombinase Protein," <i>J. Biol. Chem.</i> 259:1509-1514, American Society for Biochemistry and Molecular Biology, Inc. (1984).
<i>W</i>	AT	1	Abremski, K., <i>et al.</i> , "Studies on the Properties of P1 Site-Specific Recombination: Evidence for Topologically Unlinked Products following Recombination," <i>Cell</i> 32:1301-1311, Massachusetts Institute of Technology (1983).

EXAMINER

*William S. Holt*

DATE CONSIDERED

*2-30-03*

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	AA2	5,650,308	07/22/1997	Baum, J.A.	435	172.3	06/07/1995
	AB2	5,658,772	08/19/1997	Odell, J.T. <i>et al.</i>	435	172.3	07/27/1994
	AC2	5,677,170	10/14/1997	Devine, S.E. <i>et al.</i>	435	320.1	03/02/1994
	AD2	5,677,177	10/14/1997	Wahl, G.M. <i>et al.</i>	435	325	06/07/1995
	AE2	5,710,248	01/20/1998	Grose, C.F.	530	327	07/29/1996
	AF2	5,723,765	03/03/1998	Oliver, M.J. <i>et al.</i>	800	205	06/07/1995
	AG2	5,733,733	03/31/1998	Auerbach, J.I.	435	6	02/01/1996
	AH2	5,733,743	03/31/1998	Johnson, K.S. <i>et al.</i>	435	69.1	11/18/1994
	AI2	5,744,336	04/28/1998	Hodges, T.K. <i>et al.</i>	435	172.3	03/08/1996
	AJ2	5,766,891	06/16/1998	Shuman, S.	435	91.41	12/19/1994
	AK2	5,776,449	07/07/1998	Baum, J.A.	424	93.2	09/20/1996

## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL2	WO 93/15191	08/05/1993	WIPO			Yes No
	AM2	WO 93/19172	09/30/1993	WIPO			Yes No
	AN2	CA 2,141,412	02/17/1994	Canada			Yes No
	AO2	WO 94/09127	04/28/1994	WIPO			Yes No
	AP2	WO 94/17176	08/04/1994	WIPO			Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	2	Abremski, K., <i>et al.</i> , "Bacteriophage P1 Cre- <i>loxP</i> Site-specific Recombination: Site-specific DNA Topoisomerase Activity of the Cre Recombination Protein," <i>J. Biol. Chem.</i> 261:391-396, American Society for Biochemistry and Molecular Biology, Inc. (1986).
	AS	2	Adams, D. E., <i>et al.</i> , "Cre- <i>lox</i> Recombination in <i>Escherichia coli</i> Cells: Mechanistic Differences from the <i>in Vitro</i> Reaction," <i>J. Mol. Biol.</i> 226:661-673, Academic Press Ltd. (1992).
	AT	2	Albert, H., <i>et al.</i> , "Site-specific integration of DNA into wild-type and mutant <i>lox</i> sites placed in the plant genome," <i>Plant J.</i> 7:649-659, Blackwell Science Ltd. (1995).

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William S. M. B.

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
<i>M</i>	AA3	5,830,707	11/03/1998	Bushman, F.D.	435	69.7	06/05/1995
<i>M</i>	AB3	5,837,242	11/17/1998	Holliger, K.-P. <i>et al.</i>	424	136.1	05/14/1996
<i>M</i>	AC3	5,843,772	12/01/1998	Devine, S.E. <i>et al.</i>	435	320.1	06/10/1996
<i>M</i>	AD3	5,851,808	12/22/1998	Elledge, S.J. <i>et al.</i>	435	172.3	02/28/1992
<i>M</i>	AE3	5,858,657	01/12/1999	Winter, G.P. <i>et al.</i>	435	6	06/07/1995
<i>M</i>	AF3	5,871,907	02/16/1999	Winter, G.P. <i>et al.</i>	435	6	03/31/1994
<i>M</i>	AG3	5,874,259	02/23/1999	Szybalski, W.	435	91.1	11/21/1997
<i>M</i>	AH3	5,888,732	03/30/1999	Hartley, J.L. <i>et al.</i>	435	6	06/07/1996
<i>M</i>	AI3	5,916,804	06/29/1999	Bushman, F.D.	435	325	04/17/1998
<i>M</i>	AJ3	5,919,676	07/06/1999	Graham, F.L. <i>et al.</i>	435	172.3	06/07/1995
<i>M</i>	AK3	5,928,914	07/27/1999	Leboulch, P. <i>et al.</i>	435	172.3	11/05/1996

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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
<i>M</i>	AL3	WO 97/06265	02/20/1997	WIPO			Yes No
<i>M</i>	AM3	WO 97/09436	03/13/1997	WIPO			Yes No
<i>M</i>	AN3	WO 97/25446	07/17/1997	WIPO			Yes No
<i>M</i>	AO3	WO 97/32481	09/12/1997	WIPO			Yes No
<i>M</i>	AP3	WO 98/10086	03/12/1998	WIPO			Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

<i>M</i>	AR	3	Andrews, B.J., <i>et al.</i> , "The FLP Recombinase of the 2 $\mu$ Circle DNA of Yeast: Interaction with Its Target Sequences," <i>Cell</i> 40:795-803, Massachusetts Institute of Technology (1985).
<i>3</i>	AS	3	Andrews, B.J., <i>et al.</i> , "Interaction of the FLP Recombinase of the <i>Saccharomyces cerevisiae</i> 2 $\mu$ Plasmid with Mutated Target Sequences," <i>Mol. Cell. Biol.</i> 6:2482-2489, American Society for Microbiology (1986).
<i>M</i>	AT	3	Anton, M. and Graham, F. L., "Site-Specific Recombination Mediated by an Adenovirus Vector Expressing the Cre Recombinase Protein: a Molecular Switch for Control of Gene Expression," <i>J. Virol.</i> 69:4600-4606, American Society for Microbiology (1995).

EXAMINER

*W. H. A. Sander*

DATE CONSIDERED

*3-30-03*

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	FILING DATE May 16, 2000	GROUP 1636

U.S. PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA4	5,989,872	11/23/1999	Luo, Y. <i>et al.</i>	435	91.2	08/12/1997
	AB4	6,010,884	01/04/2000	Griffiths, A.D. <i>et al.</i>	435	69.7	05/29/1996
	AC4	6,143,557	11/07/2000	Hartley, J.L. <i>et al.</i>	435	320.1	01/20/1999
	AD4	6,171,861 B1	01/09/2001	Hartley, J.L. <i>et al.</i>	435	435	01/12/1998
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	AL4	WO 98/53056	11/26/1998	WIPO			Yes No
	AM4	WO 99/10488	03/04/1999	WIPO			Yes No
	AN4	WO 99/21977	05/06/1999	WIPO			Yes No
	AO4	WO 99/25851	05/27/1999	WIPO			Yes No
	AP4	WO 99/55851	11/04/1999	WIPO			Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	4	Araki, H., <i>et al.</i> , "Site-specific Recombinase, R, Encoded by Yeast Plasmid pSR1," <i>J. Mol. Biol.</i> 225:25-37, Academic Press Ltd. (1992).
	AS	4	Argos, P., <i>et al.</i> , "The integrase family of site-specific recombinases: regional similarities and global diversity," <i>EMBO J.</i> 5:433-440, IRL Press Ltd. (1986).
	AT	4	Atlung, T., <i>et al.</i> , "A versatile method for integration of genes and gene fusions into the $\lambda$ attachment site of <i>Escherichia coli</i> ," <i>Gene</i> 107:11-17, Elsevier Science Publishers B.V. (1991).

EXAMINER	<i>William A. Smaller</i>	DATE CONSIDERED	3-30-03
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## FOREIGN PATENT DOCUMENTS

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	AL5	EP 1 035 208	09/13/2000	Europe			Yes No
	AM5	WO 00/60091	10/12/2000	WIPO			Yes No
	AN5	WO 01/05961	01/25/2001	WIPO			Yes No
	AO5	WO 01/11058	02/15/2001	WIPO			Yes No
	AP5	WO 92/22650	12/23/1992	WIPO			Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	5	Ausubel, F.M., <i>et al.</i> , "Maps of Plasmids pBR322 and pUC19," in <i>Current Protocols in Molecular Biology</i> , pp. 1.5.3-1.5.4, John Wiley & Sons, Inc., Boston, MA, (1995).
	AS	5	Ausubel, F. M., <i>et al.</i> , "Mutagenesis by the Polymerase Chain Reaction," in <i>Current Protocols in Molecular Biology</i> , pp. 8.5.1-8.5.9, John Wiley & Sons, Inc., Boston, MA, (1995).
	AT	5	Babineau, D., <i>et al.</i> , "The FLP Protein of the 2-micro Plasmid of Yeast," <i>J. Biol. Chem.</i> 260:12313-12391, American Society for Biochemistry and Molecular Biology, Inc. (1985).

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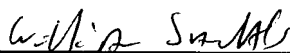
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>6</u>	Balakrishnan, R., <i>et al.</i> , "A gene cassette for adapting <i>Escherichia coli</i> strains as hosts for att-Int-mediated rearrangement and $p_L$ expression vectors," <i>Gene</i> 138:101-104, Elsevier Science Publishers B.V. (1994).
	AS	<u>6</u>	Bayley, C. C., <i>et al.</i> , "Exchange of gene activity in transgenic plants catalyzed by the Cre-lox site-specific recombination system," <i>Plant Mol. Biol.</i> 18:353-361, Kluwer Academic Publishers (1992).
	AT	<u>6</u>	Bernard, P., "Positive Selection of Recombinant DNA by CcdB," <i>BioTechniques</i> 21:320-323, Eaton Publishing (August 1996).

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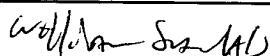
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	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	Z	Bernard, P. and Couturier, M., "Cell Killing by the F Plasmid CcdB Protein Involves Poisoning of DNA-Topoisomerase II Complexes," <i>J. Mol. Biol.</i> 226:735-745, Academic Press Ltd. (1992).
	AS	Z	Bernard, P., <i>et al.</i> , "Positive-selection vectors using the F plasmid <i>ccdB</i> killer gene," <i>Gene</i> 148:71-74, Elsevier Science Publishers B.V. (1994).
	AT	Z	Bethke, B. and Sauer, B., "Segmental genomic replacement by Cre-mediated recombination: genotoxic stress activation of the p53 promoter in single-copy transformants," <i>Nucl. Acids Res.</i> 25:2828-2834, Oxford University Press (July 1997).

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

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	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	8	Betz, U. A. K., <i>et al.</i> , "Bypass of lethality with mosaic mice generated by Cre-loxP-mediated recombination," <i>Curr. Biol.</i> 6:1307-1316, Current Biology Ltd. (October 1996).
	AS	8	Bhandari, P and Gowrishankar, J., "An <i>Escherichia coli</i> host Strain Useful for Efficient Overproduction of Cloned Gene Products with NaCl as the Inducer," <i>J. Bacteriol.</i> 179:4403-4406, American Society for Microbiology (July 1997).
	AT	8	Black, L.W., "In vitro packaging into phage T4 particles and specific recircularization of phage lambda DNAs," <i>Gene</i> 46:97-101, Elsevier Science Publishers B.V. (1986).

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	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	2	Bloch, C.A., <i>et al.</i> , "Purification of <i>Escherichia coli</i> Chromosomal Segments without Cloning," <i>Biochem. Biophys. Res. Comm.</i> 223:104-111, Academic Press, Inc. (1996).
	AS	2	Bochner, B.R., <i>et al.</i> , "Positive Selection for Loss of Tetracycline Resistance," <i>J. Bacteriol.</i> 143:926-933, American Society for Microbiology (1980).
	AT	2	Boyd, A. C., "Turbo cloning: a fast, efficient method for cloning PCR products and other blunt-ended DNA fragments into plasmids," <i>Nucl. Acids Res.</i> 21:817-821, Oxford University Press (1993).

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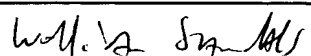
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	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>10</u>	Broach, J.R., <i>et al.</i> , "Recombination within the Yeast Plasmid 2 $\mu$ Circle is Site-Specific," <i>Cell</i> 29:227-234, Massachusetts Institute of Technology (1982).
	AS	<u>10</u>	Brunelli, J.P. and Pall, M.L., "A Series of Yeast/ <i>Escherichia coli</i> $\lambda$ Expression Vectors Designed for Directional Cloning of cDNAs and <i>cre/lox</i> -Mediated Plasmid Excision," <i>Yeast</i> 9:1309-1318, John Wiley And Sons Ltd. (1993).
	AT	<u>10</u>	Brunelli, J.P., and Pall, M.L., "Lambda/Plasmid Vector Construction by <i>In Vivo cre/lox</i> -Mediated Recombination," <i>BioTechniques</i> 16:1061-1064, Eaton Publishing (1994).

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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 0942.285000G/BJD/MTT	APPLICATION NO. 09/855,797
	APPLICANT HARTLEY <i>et al.</i>	
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>11</u>	Bubeck, P., <i>et al.</i> , "Rapid cloning by homologous recombination <i>in vivo</i> ," <i>Nucl. Acids Res.</i> 21:3601-3602, Oxford university Press (1993).
	AS	<u>11</u>	Buchholz, F., <i>et al.</i> , "A simple assay to determine the functionality of Cre or FLP recombination targets in genomic manipulation constructs," <i>Nucl. Acids Res.</i> 24:3118-3119, Oxford university Press (August 1996).
	AT	<u>11</u>	Buchholz, F., <i>et al.</i> , "Different thermostabilities of FLP and Cre recombinases: implications for applied site-specific recombination," <i>Nucl. Acids Res.</i> 24:4256-4262, Oxford University Press (November 1996).

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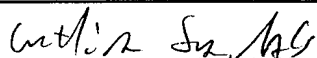
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	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>12</u>	Bushman, W., <i>et al.</i> , "Control of Directionality in Lambda Site Specific Recombination," <i>Science</i> 230:906-911, American Association for the Advancement of Science (1985).
	AS	<u>12</u>	Campbell, A.M., "Chromosomal Insertion Sites for Phages and Plasmids," <i>J. Bacteriol.</i> 174:7495-7499, American Society for Microbiology (1992).
	AT	<u>12</u>	Chapin, S.J., <i>et al.</i> , "Differential Expression of Alternatively Spliced Forms of MAP4: A Repertoire of Structurally Different Microtubule-Binding Domains," <i>Biochem.</i> 34:2289-2301, American Chemical Society (February 1995).

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	AR	<u>13</u>	Chatterjee, P.K., and Coren, J.S., "Isolating large nested deletions in bacterial and P1 artificial chromosomes by <i>in vivo</i> P1 packaging of products of Cre-catalysed recombination between the endogenous and a transposed <i>loxP</i> site," <i>Nucl. Acids Res.</i> 25:2205-2212, Oxford University Press (June 1997).
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	AR	<u>14</u>	Dale, E.C. and Ow, D.W., "Intra- and intermolecular site-specific recombination in plant cells mediated by bacteriophage P1 recombinase," <i>Gene</i> 91:79-85, Elsevier Science Publishers B.V. (1990).
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	AT	<u>14</u>	Dale, E.C. and Ow, D.W., "Mutations in the Cre/lox Recombination Site Enhance the Stability of Recombination Products: Applications for Gene Targeting in Plants," <i>J. Cell. Biochem.</i> 16(Suppl. F):206, abstract no. Y 108, Wiley-Liss, Inc. (1992).




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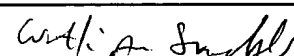
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	AR	<u>15</u>	Dang, D.T. and Perrimon, N., "Use of a Yeast Site-Specific Recombinase to Generate Embryonic Mosaics in <i>Drosophila</i> ," <i>Develop. Genetics</i> 13:367-375, Wiley-Liss, Inc. (1992).
	AS	<u>15</u>	Davies, J. and Reichmann, L., "An antibody VH domain with a <i>lox</i> -Cre site integrated into its coding region: bacterial recombination within a single polypeptide chain," <i>FEBS Letts.</i> 377:92-96, Elsevier Science Publishers B.V. (1995).
	AT	<u>15</u>	Degryse, E., "In vivo intermolecular recombination in <i>Escherichia coli</i> : application to plasmid constructions," <i>Gene</i> 170:45-50, Elsevier Science Publishers B.V. (April 1996).

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	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>16</u>	Devine, S.E. and Boeke, J.D., "Efficient integration of artificial transposons into plasmid targets <i>in vitro</i> : a useful tool for DNA mapping, sequencing and genetic analysis," <i>Nucl. Acids Res.</i> 22:3765-3772, Oxford University Press (1994).
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	AT	<u>16</u>	Dymecki, S.M., "A modular set of <i>Flp</i> , <i>FRT</i> and <i>lacZ</i> fusion vectors for manipulating genes by site-specific recombination," <i>Gene</i> 171:197-201, Elsevier Science Publishers B.V. (June 1996).

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	AR	<u>17</u>	Elledge, S.J., <i>et al.</i> , "λYES: A multifunctional cDNA expression vector for the isolation of genes by complementation of yeast and <i>Escherichia coli</i> mutations," <i>Proc. Natl. Acad. Sci. USA</i> 88:1731-1735, National Academy of Sciences (1991).
	AS	<u>17</u>	Feil, R., <i>et al.</i> , "Regulation of Cre Recombinase Activity by Mutated Estrogen Receptor Ligand-Binding Domains," <i>Biochem. Biophys. Res. Comm.</i> 237:752-757, Academic Press, Inc. (August 1997).
	AT	<u>17</u>	Ferguson, J., <i>et al.</i> , "Construction and characterization of three yeast- <i>Escherichia coli</i> shuttle vectors designed for rapid subcloning of yeast genes on small DNA fragments," <i>Gene</i> 16:191-197, Elsevier/North-Holland Biomedical Press (1981).

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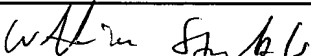
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	AR	<u>18</u>	Fiering, S., <i>et al.</i> , "An "in-out" strategy using gene targeting and FLP recombinase for the functional dissection of complex DNA regulatory elements: Analysis of the $\beta$ -globin locus control region," <i>Proc. Natl. Acad. Sci. USA</i> 90:8469-8473, National Academy of Sciences (1993).
	AS	<u>18</u>	Filutowicz, M., <i>et al.</i> , "Purification of the <i>Escherichia coli</i> integration host factor (IHF) in one chromatographic step," <i>Gene</i> 147:149-150, Elsevier Science Publishers B.V. (1994).
	AT	<u>18</u>	Francia, M.V., <i>et al.</i> , "Gene Integration in the <i>Escherichia coli</i> Chromosome Mediated by Tn21 Integrase (Int21)," <i>J. Bacteriol.</i> 178:894-898, American Society for Microbiology (February 1996).

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	AR	19	Fukushige, S. and Sauer, B., "Genomic targeting with a positive-selection lox integration vector allows highly reproducible gene expression in mammalian cells," <i>Proc. Natl. Acad. Sci. USA</i> 89:7905-7909, National Academy of Sciences (1992).
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	AR	<u>20</u>	Glasgow, A.C., <i>et al.</i> , "DNA-binding Properties of the Hin Recombinase," <i>J. Biol. Chem.</i> 264:10072-10082, American Society for Biochemistry and Molecular Biology, Inc. (1989).
	AS	<u>20</u>	Golic, K.G. and Lindquist, S., "The FLP Recombinase of Yeast Catalyzes Site-Specific Recombination in the Drosophila Genome," <i>Cell</i> 59:499-509, Cell Press (1989).
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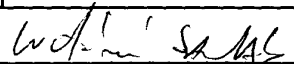
  

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>21</u>	Guo, F., <i>et al.</i> , "Asymmetric DNA bending in the Cre-loxP site-specific recombination synapse," <i>Proc. Natl. Acad. Sci. USA</i> 96:7143-7148, National Academy of Sciences (June 1999).
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	AT	<u>21</u>	Hardy, S., <i>et al.</i> , "Construction of Adenovirus Vectors through Cre-lox Recombination," <i>J. Virol.</i> 71:1842-1849, American Society for Microbiology (March 1997).

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2	AR	22	Hasan, N. and Szybalski, W., "Control of cloned gene expression by promoter inversion in vivo: construction of improved vectors with a multiple cloning site and the $p_{tac}$ promoter," <i>Gene</i> 56:145-151, Elsevier Science Publishers B.V. (1987).
9	AS	22	Hasan, N., <i>et al.</i> , "Escherichia coli genome targeting, I. Cre-lox-mediated in vitro generation of <i>ori</i> - plasmids and their in vivo chromosomal integration and retrieval," <i>Gene</i> 150:51-56, Elsevier Science Publishers B.V. (1994).
3	AT	22	Hashimoto-Gotoh, T., <i>et al.</i> , "Improved vector, pHSG664, for direct streptomycin-resistance selection: cDNA cloning with G:C-tailing procedure and subcloning of double-digested DNA fragments," <i>Gene</i> 41:125-128, Elsevier Science Publishers B.V. (1986).




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
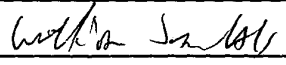
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	AR	<u>23</u>	Hoekstra, M.F., <i>et al.</i> , "Shuttle Mutagenesis: Bacterial Transposons for Genetic Manipulations in Yeast," <i>Meth. Enzymol.</i> 194:329-342, Academic Press, Inc. (1991).
	AS	<u>23</u>	Hoess, R.H., and Abremski, K., "Mechanism of Strand Cleavage and Exchange in the Cre-lox Site-specific Recombination System," <i>J. Mol. Biol.</i> 181:351-362, Academic Press, Inc. (1985).
	AT	<u>23</u>	Hoess, R.H., and Abremski, K., "The Cre-lox Recombination System," in: <i>Nucleic Acids and Molecular Biology. Vol. 4</i> , Eckstein, F. and D. M. J. Lilley, eds., Springer-Verlag, Berlin, pp 99-109 (1990).

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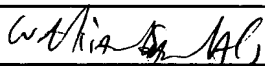
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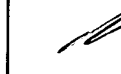
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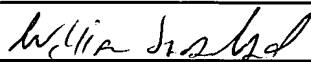
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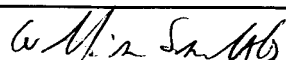
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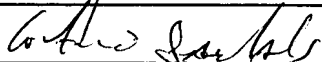
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	AR	<u>28</u>	Kozak, M., "Structural Features in Eukaryotic mRNAs That Modulate the Initiation of Translation," <i>J. Biol. Chem.</i> 266:19867-19870, American Society for Biochemistry and Molecular Biology, Inc. (1991).
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	AR	<u>29</u>	Lafontaine, D. and Tollervey, D., "One-step PCR mediated strategy for the construction of conditionally expressed and epitope tagged yeast proteins," <i>Nucl. Acids Res.</i> 24:2469-2472, Oxford University Press (1996).
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	AS	<u>30</u>	Landy, A., "Dynamic, Structural, and Regulatory Aspects of $\lambda$ Site-Specific Recombination," <i>Annu. Rev. Biochem.</i> 58:913-949, Annual Reviews, Inc. (1989).
	AT	<u>30</u>	Lebreton, B., <i>et al.</i> , "Mutations That Improve the Binding of Yeast FLP Recombinase to Its Substrate," <i>Genet.</i> 118:393-400, Genetics Society for America (1988).

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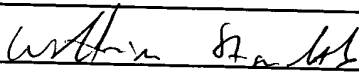
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	AT	<u>32</u>	Luckow, V.A., <i>et al.</i> , "Efficient Generation of Infectious Recombinant Baculoviruses by Site-Specific Transposon-Mediated Insertion of Foreign Genes into a Baculovirus Genome Propagated in <i>Escherichia coli</i> ," <i>J. Virol.</i> 67:4566-4579, American Society for Microbiology (1993).

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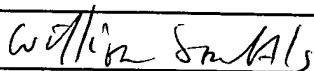
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	AS	<u>34</u>	Medberry, S.L., <i>et al.</i> , "Intra-chromosomal rearrangements generated by Cre-lox site-specific recombination," <i>Nucl. Acids Res.</i> 23:485-490, Oxford University Press (1995).
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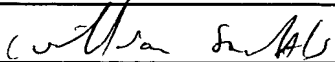
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	AR	<u>35</u>	Mizuuchi, K. and Mizuuchi, M., "Integrative Recombination of Bacteriophage $\lambda$ : In Vitro Study of the Intermolecular Reaction," <i>Cold Spring Harbor Symp. Quant. Biol.</i> 43:1111-1114, Cold Spring Harbor Laboratory Press (1979).
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	AT	<u>35</u>	Mozo, T. and Hooykaas, P.J.J., "Design of a novel system for the construction of vectors for Agrobacterium-mediated plant transformation," <i>Mol. Gen. Genet.</i> 236:1-7, Springer-Verlag (1992).




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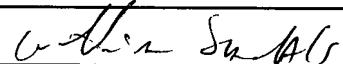
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	AO						Yes No
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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>36</u>	Mullins, L.J., <i>et al.</i> , "Efficient Cre-lox linearisation of BACs: applications to physical mapping and generation of transgenic animals," <i>Nucl. Acids Res.</i> 25:2539-2540, Oxford University Press (June 1997).
	AS	<u>36</u>	Nagaraja, R. and Weisberg, R. A., "Specificity Determinants in the Attachment Sites of Bacteriophages HK022 and $\lambda$ ," <i>J. Bacteriol.</i> 172:6540-6550, American Society for Microbiology (1990).
	AT	<u>36</u>	Nash, H.A., "Integrative Recombination of Bacteriophage Lambda DNA <i>In Vitro</i> ," <i>Proc. Natl. Acad. Sci. USA</i> 72:1072-1076, National Academy of Sciences (1975).

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	AR	<u>37</u>	Nash, H.A., "Purification and Properties of the Bacteriophage Lambda Int Protein," <i>Meth. Enzymol.</i> 100:210-216, Academic Press, Inc. (1983).
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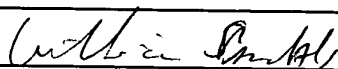
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	AR	<u>38</u>	Nash, H.A., <i>et al.</i> , "Role of homology in site-specific recombination of bacteriophage $\lambda$ : Evidence against joining of cohesive ends," <i>Proc. Natl. Acad. Sci. USA</i> 84:4049-4053, National Academy of Sciences (1987).
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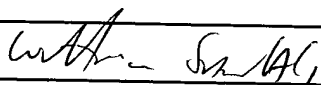
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	AR	<u>39</u>	Nunes-Duby, S.E., <i>et al.</i> , "Half-att Site Substrates Reveal the Homology Independence and Minimal Protein Requirements for Productive Synapsis in $\lambda$ Excisive Recombination," <i>Cell</i> 59:197-206, Cell Press (1989).
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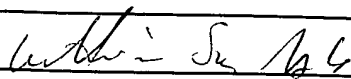
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	AR	<u>40</u>	Oliner, J.D., <i>et al.</i> , "In vivo cloning of PCR products in <i>E. coli</i> ," <i>Nucl. Acids Res.</i> 21:5192-5197, Oxford University Press (1993).
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	AT	<u>40</u>	Osborne, B.I., <i>et al.</i> , "A system for insertional mutagenesis and chromosomal rearrangement using the Ds transposon and Cre-lox," <i>Plant J.</i> 7:687-701, Blackwell Science Ltd. (1995).

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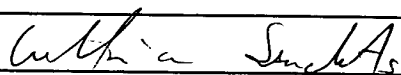
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>41</u>	Padgett, K.A. and Sorge, J.A., "Creating seamless junctions independent of restriction sites in PCR cloning," <i>Gene</i> 168:31-35, Elsevier Science Publishers B.V. (February 1996).
	AS	<u>41</u>	Palazzolo, M.J., <i>et al.</i> , "Phage lambda cDNA cloning vectors for subtractive hybridization, fusion-protein synthesis and Cre-loxP automatic plasmid subcloning," <i>Gene</i> 88:25-36, Elsevier Science Publishers B.V. (1990).
	AT	<u>41</u>	Pan, G., <i>et al.</i> , "Ligation of Synthetic Activated DNA Substrates by Site-specific Recombinases and Topoisomerase I," <i>J. Biol. Chem.</i> 268:3683-3689, American Society for Biochemistry and Molecular Biology, Inc. (1993).

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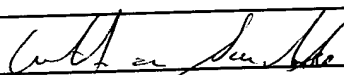
  

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>42</u>	Parks, R.J. and Graham, F.L., "A Helper-Dependent System for Adenovirus Vector Production Helps Define a Lower Limit for Efficient DNA Packaging," <i>J. Virol.</i> 71:3293-3298, American Society for Microbiology (April 1997).
	AS	<u>42</u>	Peakman, T.C., <i>et al.</i> , "Highly efficient generation of recombinant baculoviruses by enzymatically mediated site-specific <i>in vitro</i> recombination," <i>Nucl. Acids Res.</i> 20:495-500, Oxford University Press (1992).
	AT	<u>42</u>	Peredelchuk, M.Y. and Bennett, G.N., "A method for construction of <i>E. coli</i> strains with multiple DNA insertions in the chromosome," <i>Gene</i> 187:231-238, Elsevier Science Publishers B.V. (March 1997).

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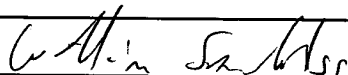
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>43</u>	Pichel, J.G., <i>et al.</i> , "Timing of SV40 oncogene activation by site-specific recombination determines subsequent tumor progression during murine lens development," <i>Gene</i> 8:3333-3342, Elsevier Science Publishers B.V. (1993).
	AS	<u>43</u>	Pierce, J.C., <i>et al.</i> , "A positive selection vector for cloning high molecular weight DNA by the bacteriophage P1 system: Improved cloning efficacy," <i>Proc. Natl. Acad. Sci. USA</i> 89:2056-2060, National Academy of Sciences (1992).
	AT	<u>43</u>	Podhajska, A.J., <i>et al.</i> , "Control of cloned gene expression by promoter inversion in vivo: construction of the heat-pulse-activated <i>att-nutL-p-att-N</i> module," <i>Gene</i> 40:163-168, Elsevier Science Publishers B.V. (1985).

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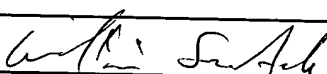
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>44</u>	Pósfai, G., <i>et al.</i> , "In vivo excision and amplification of large segments of the <i>Escherichia coli</i> genome," <i>Nucl. Acids Res.</i> 22:2392-2398, Oxford university Press (1994).
	AS	<u>44</u>	Prasad, P.V., <i>et al.</i> , "Substrate Recognition by the 2 $\mu$ m Circle Site-Specific Recombinase: Effect of Mutations within the Symmetry Elements of the Minimal Substrate," <i>Mol. Cell. Biol.</i> 6:4329-4334, American Society for Microbiology (1986).
	AT	<u>44</u>	Qian, X., <i>et al.</i> , "Reactions between Half- and Full-FLP Recombination Target Sites: A Model System for Analyzing Early Steps in FLP Protein-Mediated Site-Specific Recombination," <i>J. Biol. Chem.</i> 267:7794-7805, American Society for Biochemistry and Molecular Biology (1992).

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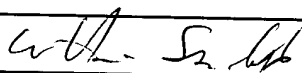
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	AR	<u>45</u>	Reed, R.R. and Grindley, N.D.F., "Transposon-Mediated Site-Specific Recombination in Vitro: DNA Cleavage and Protein-DNA Linkage at the Recombination Site," <i>Cell</i> 25:721-728, Massachusetts Institute of Technology (1981).
	AS	<u>45</u>	Reed, R.R., "Transposon-Mediated Site-Specific Recombination: A Defined in Vitro System," <i>Cell</i> 25:713-719, Massachusetts Institute of Technology (1981).
	AT	<u>45</u>	Richet, E., <i>et al.</i> , "The Interaction of Recombination Proteins with Supercoiled DNA: Defining the Role of Supercoiling in Lambda Integrative Recombination," <i>Cell</i> 46:1011-1021, Cell Press (1986).

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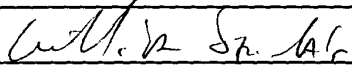
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	AR	<u>46</u>	Richet, E., <i>et al.</i> , "Synopsis of Attachment Sites during Lambda Integrative Recombination Involves Capture of a Naked DNA by a Protein-DNA Complex," <i>Cell</i> 52:9-17, Cell Press (1988).
	AS	<u>46</u>	Sadowski, P., "Site-Specific Recombinases: Changing Partners and Doing the Twist," <i>J. Bacteriol.</i> 165:341-347, American Society of Microbiology (1986).
	AT	<u>46</u>	Sadowski, P.D., "The F1p Recombinase of the 2-microns Plasmid of <i>Saccharomyces cerevisiae</i> ," <i>Prog. Nucl. Acid Res. Mol. Biol.</i> 51:53-91, Academic Press, Inc. (1995).

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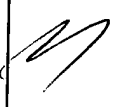


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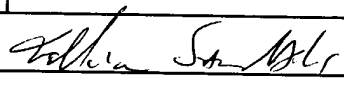
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	AL						Yes No
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	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>47</u>	Sauer, B., "Functional Expression of the <i>cre-lox</i> Site-Specific Recombination System in the Yeast <i>Saccharomyces cerevisiae</i> ," <i>Mol. Cell. Biol.</i> 7:2087-2096, American Society for Microbiology (1987).
	AS	<u>47</u>	Sauer, B., "Manipulation of Transgenes by Site-Specific Recombination: Use of Cre Recombinase," <i>Meth. Enzymol.</i> 225:890-900, Academic Press, Inc. (1993).
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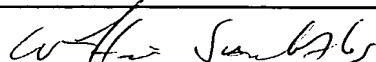
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>48</u>	Sauer, B., "Multiplex Cre/lox recombination permits selective site-specific DNA targeting to both a natural and an engineered site in the yeast genome," <i>Nucl. Acids Res.</i> 24:4608-4613, Oxford University Press (December 1996).
	AS	<u>48</u>	Sauer, B., "Inducible Gene Targeting in Mice Using the Cre/lox system," <i>Methods</i> 14:381-392, Academic Press, Inc. (April 1998).
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	AR	<u>49</u>	Sauer, B. and Henderson, N., "Cre-stimulated recombination at <i>loxP</i> -containing DNA sequences placed into the mammalian genome," <i>Nucl. Acids Res.</i> 17:147-161, IRL Press Ltd. (1989).
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	AR	<u>50</u>	Schlake, T., and Bode, J., "Use of Mutated FLP Recognition Target (FRT) Sites for the Exchange of Expression Cassettes at Defined Chromosomal Loci," <i>Biochemistry</i> 33:12746-12751, American Chemical Society (1994).
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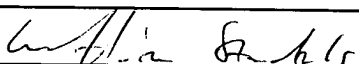
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>51</u>	Senecoff, J.F., <i>et al.</i> , "DNA Recognition by the FLP Recombinase of the Yeast 2 $\mu$ Plasmid - A Mutational Analysis of the FLP Binding Site," <i>J. Mol. Biol.</i> 201:405-421, Academic Press Ltd. (1988).
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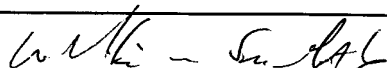
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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>52</u>	Sizemore, C., <i>et al.</i> , "Quantitative analysis of <i>In10</i> Tet repressor binding to a complete set of <i>tet</i> operator mutants," <i>Nucl. Acids Res.</i> 18:2875-2880, Oxford University Press (1990).
	AS	<u>52</u>	Smith, A.J.H., <i>et al.</i> , "A site-directed chromosomal translocation induced in embryonic stem cells by Cre- <i>loxP</i> recombination," <i>Nat. Gen.</i> 9:376-385, Nature Publishing Co. (1995).
	AT	<u>52</u>	Snaith, M.R., <i>et al.</i> , "Multiple cloning sites carrying <i>loxP</i> and <i>FRT</i> recognition sites for the Cre and Fip site-specific recombinases," <i>Gene</i> 166:173-174, Elsevier Science Publishers B.V. (1995).

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OTHER (Including Author, Title, Date, Pertinent Pages, etc.)			
	AR	<u>53</u>	Spengler, S.J., <i>et al.</i> , "The Stereostructure of Knots and Catenanes Produced by Phage $\lambda$ Integrative Recombination: Implications for Mechanism and DNA Structure," <i>Cell</i> 42:325-334, Massachusetts Institute of Technology (1985).
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	AT	<u>53</u>	Sternberg, N., <i>et al.</i> , "Site-specific Recombination and Its Role in the Life Cycle of Bacteriophage P1," <i>Cold Spring Harbor Symp. Quant. Biol.</i> 45:297-309, Cold Spring Harbor Laboratory Press (1981).

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## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>54</u>	Sternberg, N., <i>et al.</i> , "Bacteriophage P1 <i>cre</i> Gene and its Regulatory Region," <i>J. Mol. Biol.</i> 187:197-212, Academic Press, Inc. (1986).
	AS	<u>54</u>	Storck, T., <i>et al.</i> , "Rapid construction in yeast of complex targeting vectors for gene manipulation in the mouse," <i>Nucl. Acids Res.</i> 24:4594-4596, Oxford University Press (1996).
	AT	<u>54</u>	Strathmann, M., <i>et al.</i> , "Transposon-facilitated DNA sequencing," <i>Proc. Natl. Acad. Sci. USA</i> 88:1247-1250, National Academy of Sciences (1991).

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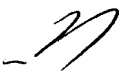


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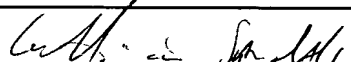
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	AR	55	Thompson, J.F., <i>et al.</i> , "Mutations in an Integration Host Factor-Binding Site: Effect on Lambda Site-Specific Recombination and Regulatory Implications," <i>J. Bacteriol.</i> 168:1343-1351, American Society of Microbiology (1986).
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	AR	<u>56</u>	Tsurushita, N., <i>et al.</i> , "Phage display vectors for in vivo recombination of immunoglobulin heavy and light chain genes to make large combinatorial libraries," <i>Gene</i> 172:59-63, Elsevier Science Publishers B.V. (June 1996).
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	AT	<u>56</u>	Venkatesh, T.V. and Radding, C.M., "Ribosomal Protein S1 and NusA Protein Complexed to Recombination Protein $\beta$ of Phage $\lambda$ ," <i>J. Bacteriol.</i> 175:1844-1846, American Society of Microbiology (1993).

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	AT	<u>57</u>	Waterhouse, P., <i>et al.</i> , "Combinatorial infection and <i>in vivo</i> recombination: a strategy for making large phage antibody repertoires," <i>Nucl. Acids Res.</i> 21:2265-2266, Oxford university Press (1993).

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	AR	<u>58</u>	Weisberg, R.A., and Landy, A., "Site-specific Recombination in Phage Lambda," in: <i>Lambda II</i> , Hendrix, R.W. <i>et al.</i> eds., Cold Spring Harbor Laboratory Press, Cold Spring Harbor, N. Y., pp. 211-250 (1983).
	AS	<u>58</u>	Wierzbicki, A., <i>et al.</i> , "A Mutational Analysis of the Bacteriophage P1 Recombinase Cre," <i>J. Mol. Biol.</i> 195:785-794, Academic Press, Inc. (1987).
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	AR	<u>59</u>	Wild, J., <i>et al.</i> , "Targeting and retrofitting pre-existing libraries of transposon insertions with <i>FRT</i> and <i>oriV</i> elements for in-vivo generation of large quantities of any genomic fragment," <i>Gene</i> 223:55-66, Elsevier Science Publishers B.V. (1998).
	AS	<u>59</u>	Winoto, A., <i>et al.</i> , "Directional Control of Site-specific Recombination by Bacteriophage $\lambda$ ," <i>J. Mol. Biol.</i> 192:677-680, Academic Press, Inc. (1986).
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FOREIGN PATENT DOCUMENTS							
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>60</u>	Yanisch-Perron, C., <i>et al.</i> , "Improved M13 phage cloning vectors and host strains: nucleotide sequences of the M13mp18 and pUC19 vectors," <i>Gene</i> 33:103-119, Elsevier Science Publishers B.V. (1985).
	AS	<u>60</u>	Yoon, Y.G., <i>et al.</i> , "Cre/loxP-mediated in vivo excision of large segments from yeast genome and their amplification based on the 2 $\mu$ m plasmid-derived system," <i>Gene</i> 223:67-76, Elsevier Science Publishers B.V. (1998).
	AT	<u>60</u>	York, D., <i>et al.</i> , "Simple and efficient generation <i>in vitro</i> of nested deletions and inversions: Tn5 intramolecular transposition," <i>Nucl. Acids Res.</i> 26:1927-1933, Oxford University Press (1998).

EXAMINER		DATE CONSIDERED	3-30-03
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449

## INFORMATION DISCLOSURE STATEMENT

ATTY. DOCKET NO.  
0942.285000G/BJD/MTTAPPLICATION NO.  
09/855,797APPLICANT  
HARTLEY *et al.*FILING DATE  
May 16, 2000GROUP  
1636




## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	61	Zahra, D.G., <i>et al.</i> , "Selectable in-vivo recombination to increase antibody library size - an improved phage display vector system," <i>Gene</i> 227:49-54, Elsevier Science Publishers B.V. (1994).
	AS	61	Zhang, Y., <i>et al.</i> , "A new logic for DNA engineering using recombination in <i>Escherichia coli</i> ," <i>Nat. Genet.</i> 20:123-128, Nature Publishing Co. (October 1998).
	AT	61	Zhu, X.-D., <i>et al.</i> , "Homology Requirements for Ligation and Strand Exchange by the FLP Recombinase," <i>J. Biol. Chem.</i> 270:11646-11653, American Society for biochemistry and Molecular Biology (1995).

EXAMINER

Wdl. A. Smith

DATE CONSIDERED

3-30-03

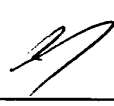

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FORM PTO-1449 INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 0942.285000G/BJD/MTT	APPLICATION NO. 09/855,797
	APPLICANT HARTLEY <i>et al.</i>	
	FILING DATE May 16, 2000	GROUP 1636

U.S. PATENT DOCUMENTS							
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AL						Yes No
	AM						Yes No
	AN						Yes No
	AO						Yes No
	AP						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

	AR	<u>62</u>	Dialog File 351 (Derwent World Patents Index), unverified English language abstract for WIPO/PCT Publication No. WO 98/53056, WPI Accession No. 1999-000502/199901.
	AS	<u>62</u>	Dialog File 351 (Derwent World Patents Index), unverified English language abstract for WIPO/PCT Publication No. WO 99/25851, WPI Accession No. 1999-347485/199929.
	AT	<u>62</u>	

EXAMINER <i>W.H.A. Smith</i>	DATE CONSIDERED <i>3-30-03</i>
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